

COUNTY OF SAN DIEGO, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject

Compliance with the Countywide Records Management Program

**Policy
Number**

A-129

Page

1 of 3

Purpose

There is a substantial need within the County of San Diego for managing paper and electronic files and strengthening the system for the creation, maintenance, usage, and disposal of County documents and records, including “official records.”

This policy exists to ensure compliance with the Countywide Records Management Program whose purpose is to assist County Departments with managing content, regardless of format (paper or electronic, document or record).

The Countywide Records Management Program responsibilities include:

- Guide departments on how to manage their content (either paper or electronic)
- Maintain Countywide records policies and the global records retention policy schedule
- Assist departments with development of departmental records retention policies and plans
- Manage the Countywide annual Records Management audit

Background

Records Management is the practice of identifying, classifying, archiving, preserving, and destroying records. It is formally defined as, "The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records." (International Organization for Standardization 15489: 2001)

However, Records Management includes more than managing paper and electronic files; it is really about managing risk. There are five major risks associated with managing records which all have the potential to be expensive. These include:

- Tracking where records reside
- Finding records when needed
- Keeping records useable for their required lifespan
- Controlling costs to store and retrieve records
- Preserving evidence for potential litigation

In addition to mitigating the potential risks associated Records Management, the County has a legal right to ensure compliance with the Records Management Program as stated in Government Code 26883:

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BOARD OF SUPERVISORS POLICY

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Compliance with the Countywide Records Management Program

**Policy
Number**

A-129

Page

2 of 3

In addition to the power now possessed by the Board of Supervisors to enter into contracts for audits, the Board shall have the power to require that the County Auditor & Controller shall audit the accounts and records of any department, office, Board or institution under its control and any district whose funds are kept in the County Treasury. The County Auditor and Controller's report on any such audit shall be filed with the Board of Supervisors....

Policy

It is the policy of the Board of Supervisors that County departments and offices comply with the Countywide Records Management Program identified in the Administrative Manual (Item 40-09).

As such, the Board of Supervisors directs the following:

- All Departments and County Offices will comply with the guidelines and responsibilities outlined in the Chief Administrative Officer's Administrative Manual Item 40-09.
- An annual audit (ref: Government Code 26883) will be conducted to ascertain departmental compliance with the adopted records management policies. The audit will include a Countywide survey of all departments. The survey will be administered by the Department of Purchasing and Contracting, Records Services Division, and then forwarded for audit as directed by the Chief of Audits, Office of Audits and Advisory Services.

Responsible Departments

1. Purchasing and Contracting
2. Auditor and Controller
3. Elected Officials, Court Administrators and Department Heads

Sunset Date

This policy will be reviewed for continuance by 12-31-2015.

COUNTY OF SAN DIEGO, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject

Compliance with the Countywide Records Management Program

**Policy
Number**

A-129

Page

3 of 3

Board Action

12/16/97 (32)

3/12/2002 (10)

9/23/2003 (10)

5/13/2008 (2)

12-09-08 (33)